

FORM H

CONFLICT OF INTEREST DISCLOSURE STATEMENT

[TO BE COMPLETED BY PROPOSER ON ITS BEHALF AND ON BEHALF OF ALL ENTITIES ON THE PROPOSER TEAM]

Proposer's attention is directed to 23 CFR Part 636, Subpart A and in particular to Subsection 636.116 regarding organizational conflicts of interest. Section 636.103 defines "organizational conflict of interest" as follows:

Organizational conflict of interest means that because of other activities or relationships with other persons, a person is unable or potentially unable to render impartial assistance or advice to the owner, or the person's objectivity in performing the contract work is or might be otherwise impaired, or a person has an unfair competitive advantage.

Proposers are advised that in accordance with <u>Section 2.9.2</u> of the Instructions to Proposers, certain firms will not be allowed to participate on any Proposer's team for the Project because of their work with INDOT in connection with the procurement and document preparation for the Project.

1. <u>Disclosure</u>

In the space provided below, and on supplemental sheets as necessary, identify all relevant facts relating to past, present, or planned interest(s) of Proposer's team (including Proposer, Design-Build Contractor, the Major Participants, proposed consultants and proposed Subcontractors, and their respective chief executives, directors, and key project personnel) which may result, or could be viewed as, an organizational conflict of interest in connection with this RFP. If no disclosure is necessary, indicate "None".

By way of example only, and in no way limiting Proposer's disclosure obligations, Proposer should disclose (a) any current contractual relationships with INDOT, (b) any past, present, or planned contractual or employment relationships with any INDOT member, officer, or employee; and (c) any other circumstances that might be considered to create a financial interest in the contract by any INDOT member, officer, or employee if Proposer is awarded the contract. Proposer should also disclose matters such as ownership of 10% or more of the stock of, or having directors in common with, any of the RFP preparers. Proposer should also disclose contractual relationships with an RFP preparer in the nature of a joint venture, as well as relationships wherein the RFP preparer is a contractor or consultant (or subcontractor or subconsultant) to Proposer or a member of Proposer's team. The foregoing is provided by way of example, and shall not constitute a limitation on the disclosure obligations.

Indiana Department of Transportation I-65/I-70 North Split Project February 25, 2020 Form H

Request for Proposals ITP Forms Addendum #3

2. Explanation

In the space provided below, and on supplemental sheets as necessary, identify steps that have been or will be taken to avoid, neutralize, or mitigate any organizational conflicts of interest described herein.

PSI has a current On-call Geotechnical Services Contract with INDOT. The table below outlines the details of the contract:

Contract Description:	INDOT On-call Contrac	et for Geotechnical	Services	
Prime Co	nsultant	Active	Contract Date:	3/29/18
A. Total or Estimated	Contract Amount: \$	\$1,500,000.00		
		Total Remainin	g Amount Unbilled:	\$750,000.00
B. Unbilled Amount	Expected to be Complet	ted by Subconsult	ants:	\$175,000.00
C. Net Remaining An	nount Unbilled (A. min	us B.):		\$575,000.00
D. Estimated No. of Y	Years to Completion:	1		
E. Estimated Annuali	zed Contract Balance (C	C. / D.):		\$575,000.00

Our plan is to structure the North Split project as a Special Project which provides a unique management and reporting structure to separate the North Split work from the ongoing operations in Indianapolis.

3. Certification

The undersigned hereby certifies that, to the best of his or her knowledge and belief, no interest exists that is required to be disclosed in this Conflict of Interest Disclosure Statement, other than as disclosed above.

ervice

SIGNATURE

NAME

TITLE

COMPANY NAME

Dated as of: MACH 16,2020



FORM H

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Indiana Department of Transportation I-65/I-70 North Split Project February 25, 2020 Form H

Request for Proposals ITP Forms Addendum #3

2. **Explanation**

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3. Certification

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SIGNATURE
SIGNATURE
John D. Jackson
NAME
Principal
TITLE
PATTO
COMPANY NAME

Dated as of: $\frac{m/14/20}{}$.



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SIGNATURE

NAME

TITLE

COMPANY NAME

Dated as of: 2



FORM H

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2. <u>Explanation</u>

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3. <u>Certification</u>

The undersigned hereby certifies that, to the best of his or her knowledge and belief, no interest exists that is required to be disclosed in this Conflict of Interest Disclosure Statement, other than as disclosed above.

Saujay & Pate
SIGNATURE
Sanjay B. Patel, PE
NAME
Chief Executive Officer & President
TITLE
VS Engineering, Inc.
COMPANY NAME

Dated as of: 3/16/2020 .



FORM Q

BUY AMERICA CERTIFICATION

(To be signed by authorized signatory(ies) of Proposer)

The undersigned Proposer hereby certifies on behalf of itself and all Subcontractors (at all tiers) the following with regard to the Project:

- a. Proposer shall comply with the Federal Highway Administration ("FHWA") Buy America Requirements of 23 CFR 635.410, which permits FHWA participation in the PPA Documents only if domestic steel and iron will be used on the Project, as well as Buy America requirements set forth in the Standard Specifications. To be considered domestic, all steel and iron used and all products manufactured from steel and iron must be produced in the United States and all manufacturing processes, including application of a coating, for these materials must occur in the United States. Coating includes all processes that protect or enhance the value of the material to which the coating is applied. This requirement does not preclude a minimal use of foreign steel and iron materials, provided the cost of such materials does not exceed 0.1% of the Contract Price.
- b. A false certification is a criminal act in violation of 18 U.S.C. 1001. Should this PPA be investigated, Proposer has the burden of proof to establish that it is in compliance.
- At Proposer's request, INDOT may, but is not obligated to, seek a waiver of Buy America requirements if grounds for the waiver exist. However, Proposer certifies that it will comply with the applicable Buy America requirements if a waiver of those requirements is not available or not pursued by INDOT.

Date: March 10, 2020	
Signature:	
Title: President	
Proposer's Name: Superior Construction Co., Inc.	





EQUAL EMPLOYMENT OPPORTUNITY CERTIFICATION

[To be executed by Proposer, Equity Members, each Major Participant and each non-exempt Subcontractor.]

exemp	of Subcontractor.j		
The ur	ndersigned certifies on behalf of <u>Superior Construction Co., Inc.</u> , that: (Name of entity making certification)		
[NTD:	check one of the following boxes]		
\boxtimes	It has developed and has on file at each establishment affirmative action programs pursuant to 41 CFR Part 60-2 (Affirmative Action Programs).		
	It is not subject to the requirements to develop an affirmative action program under 41 CFR Part 60-2 (Affirmative Action Programs).		
[NTD:	check one of the following boxes]		
	It has not participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246.		
	It has participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246 and, where required, it has filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance, a Federal Government contracting or administering agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements. Signature:		
	Title: <u>Daniel J. Sopczak, President</u>		
	Date: <u>March 10</u> , 20 <u>20</u>		
If not F	If not Proposer, relationship to Proposer: <u>Proposer</u>		

Currently, Standard Form 100 (EEO-1) is the only report required by Executive Orders or their implementing regulations.

Proposer, Major Participants (other than Equity Members) and proposed non-exempt Subcontractors who have participated in a previous contract subject to the Executive Orders and have not filed the required reports should note that 41 CFR 60-1.7(b)(1) prevents the award of contracts and subcontracts unless such contractor submits a report covering the delinquent period or such other period specified by the Federal Highway Administration or by the Director, Office of Federal Contract Compliance, U.S. Department of Labor.



EQUAL EMPLOYMENT OPPORTUNITY CERTIFICATION

[To be executed by Proposer, Equity Members, each Major Participant and each non-exempt Subcontractor.]

exempt caseentractor.
The undersigned certifies on behalf of <u>Janssen & Spaans Engineering Inc.</u> , that: (Name of entity making certification)
[NTD: check one of the following boxes]
It has developed and has on file at each establishment affirmative action programs pursuant to 41 CFR Part 60-2 (Affirmative Action Programs).
It is not subject to the requirements to develop an affirmative action program under 41 CFR Part 60-2 (Affirmative Action Programs).
[NTD: check one of the following boxes]
It has not participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246.
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Title: President
Title. 1 Tooldon
Date: <u>March 10,</u> 20 <u>20</u>
If not Proposer, relationship to Proposer: <u>Lead Designer / Major Participant</u>

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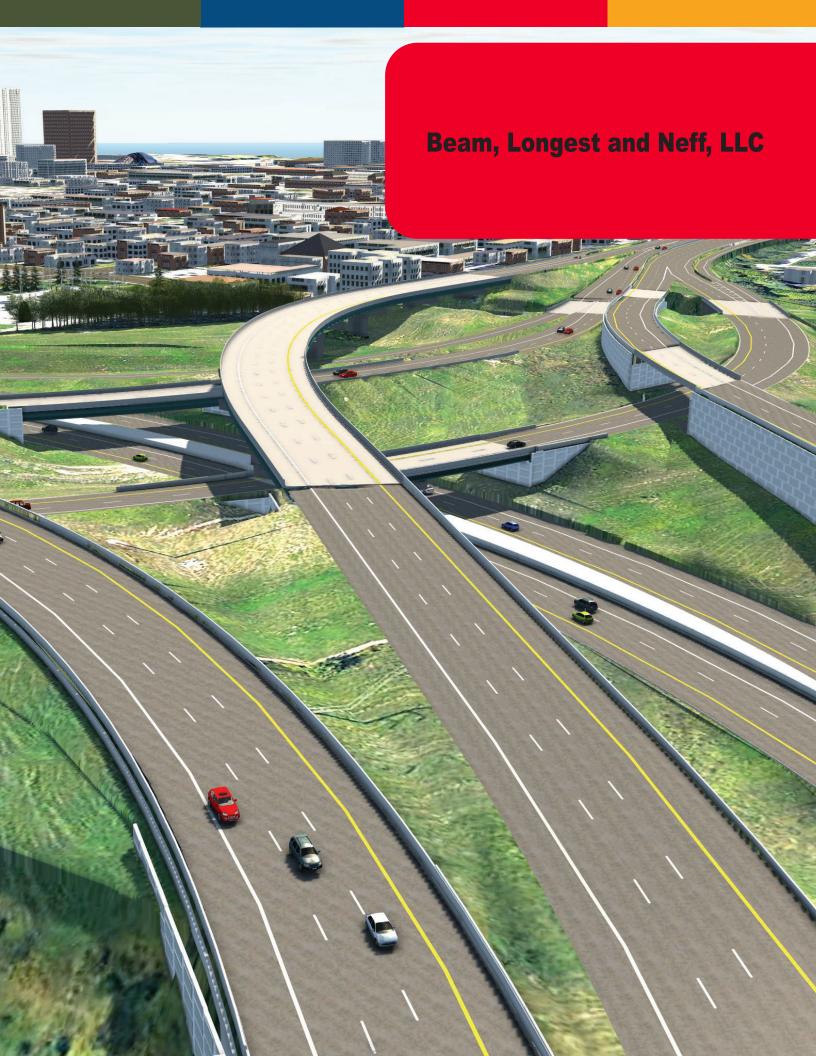
EQUAL EMPLOYMENT OPPORTUNITY CERTIFICATION

-	executed by Proposer, Equity Members, each Major Participant and each non- ot Subcontractor.]
The u	ndersigned certifies on behalf of <u>A & F Engineering Co., LLC</u> , that: (Name of entity making certification)
[NTD:	check one of the following boxes]
	It has developed and has on file at each establishment affirmative action programs pursuant to 41 CFR Part 60-2 (Affirmative Action Programs).
\boxtimes	It is not subject to the requirements to develop an affirmative action program under 41 CFR Part 60-2 (Affirmative Action Programs).
[NTD:	check one of the following boxes]
\boxtimes	It has not participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246.
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	Title: Owner
	Date: <u>March 10,</u> 20 <u>20</u>
If not	Proposer, relationship to Proposer: <u>Major Participant</u>

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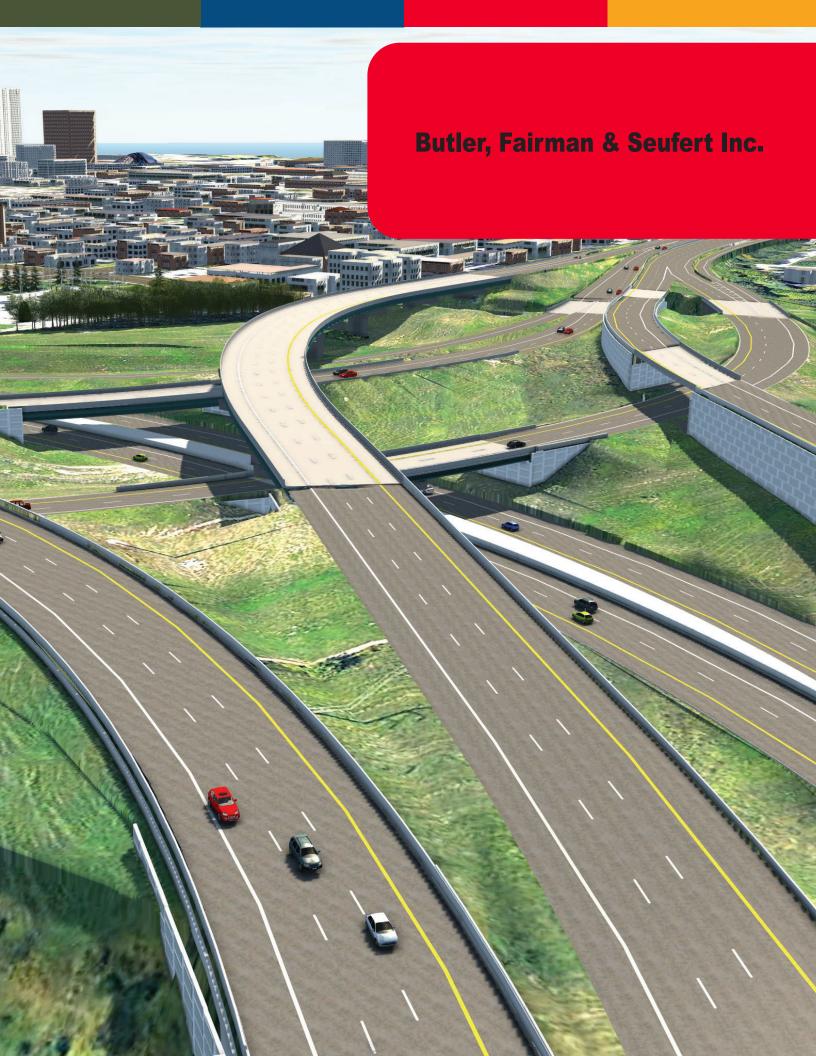


EQUAL EMPLOYMENT OPPORTUNITY CERTIFICATION

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The u	ndersigned certifies on behalf of <u>Beam, Longest and Neff, LLC</u> , that: (Name of entity making certification)
[NTD:	check one of the following boxes]
\boxtimes	It has developed and has on file at each establishment affirmative action programs pursuant to 41 CFR Part 60-2 (Affirmative Action Programs).
	It is not subject to the requirements to develop an affirmative action program under 41 CFR Part 60-2 (Affirmative Action Programs).
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	Title: President
	Date: <u>March 10</u> , 20 <u>20</u>
If not	Proposer, relationship to Proposer: Major Participant

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EQUAL EMPLOYMENT OPPORTUNITY CERTIFICATION

[To be executed by Proposer, Equity Members, each Major Participant and each non-exempt Subcontractor.]

The undersigned certifies on behalf of <u>Butler, Fairman & Seufert Inc.</u> , that: (Name of entity making certification)
[NTD: check one of the following boxes]
☑ It has developed and has on file at each establishment affirmative action programs pursuant to 41 CFR Part 60-2 (Affirmative Action Programs).
It is not subject to the requirements to develop an affirmative action program under 41 CFR Part 60-2 (Affirmative Action Programs).
[NTD: check one of the following boxes]
It has not participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246.
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Title: Mike Eichenauer PE, Executive Vice President Date: March 10, 2020
If not Proposer, relationship to Proposer: <u>Major Participant</u>

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EQUAL EMPLOYMENT OPPORTUNITY CERTIFICATION

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	······································
The u	ndersigned certifies on behalf of <u>E&B Paving, Inc.</u> , that: <i>(Name of entity making certification)</i>
[NTD:	check one of the following boxes]
\boxtimes	It has developed and has on file at each establishment affirmative action programs pursuant to 41 CFR Part 60-2 (Affirmative Action Programs).
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	Title: Larry Canterbury, President
	Date: <u>March 10,</u> 20 <u>20</u>
If not	Proposer, relationship to Proposer: <u>Major Participant</u>

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EQUAL EMPLOYMENT OPPORTUNITY CERTIFICATION

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-	· ,	
The u	ndersigned certifies on behalf of <u>Gannett Fleming, Inc.</u> , (Name of entity making certification)	that:
[NTD:	check one of the following boxes]	
\boxtimes	It has developed and has on file at each establishment affirmative action programs pursuant to 41 CFR Part 60-2 (Affirmative Action Programs).	
	It is not subject to the requirements to develop an affirmative action program under 41 CFR Part 60-2 (Affirmative Action Programs).	
[NTD:	check one of the following boxes]	
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	Title: Vice President	
	Date: <u>March 10</u> , 20 <u>20</u>	
If not	Proposer, relationship to Proposer: Major Participant	

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EQUAL EMPLOYMENT OPPORTUNITY CERTIFICATION

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exempt Subcontractor.]		
The ur	ndersigned certifies on behalf of <u>Keramida Environmental, Inc.</u> , that: (Name of entity making certification)	
[NTD:	check one of the following boxes]	
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	Title: Vice President, Operations	
	Date: <u>March 10</u> , 20 <u>20</u>	
If not I	Proposer, relationship to Proposer: <u>Major Participant</u>	

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EQUAL EMPLOYMENT OPPORTUNITY CERTIFICATION

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•	
The undersigned certifies on behalf of <u>Professional Service Industries, Inc.</u> , that (Name of entity making certification)	at:
[NTD: check one of the following boxes]	
It has developed and has on file at each establishment affirmative action programs pursuant to 41 CFR Part 60-2 (Affirmative Action Programs).	
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Title: Senior Director, National Practice Leader	
Infrastructure	<u>-</u>
Date:March 10, 2020	
If not Proposer, relationship to Proposer: Major Participant	

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Proposer, Major Participants (other than Equity Members) and proposed non-exempt Subcontractors who have participated in a previous contract subject to the Executive Orders and have not filed the required reports should note that 41 CFR 60-1.7(b)(1) prevents the award of contracts and subcontracts unless such contractor submits a report covering the delinquent period or such other period specified by the Federal Highway Administration or by the Director, Office of Federal Contract Compliance, U.S. Department of Labor.



EQUAL EMPLOYMENT OPPORTUNITY CERTIFICATION

To be executed by Proposer, Equity Members, each Major Participant and each nonexempt Subcontractor.] The undersigned certifies on behalf of RATIO Architects, Inc. , that: (Name of entity making certification) [NTD: check one of the following boxes] \boxtimes It has developed and has on file at each establishment affirmative action programs pursuant to 41 CFR Part 60-2 (Affirmative Action Programs). It is not subject to the requirements to develop an affirmative action program under 41 CFR Part 60-2 (Affirmative Action Programs). [NTD: check one of the following boxes] \boxtimes It has not participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246. It has participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246 and, where required, it has filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance, a Federal Government contracting or administering agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements. Signature: (Title: Principal / Director of Landscape Architecture Date: March 10, 2020 If not Proposer, relationship to Proposer: Major Participant

Currently, Standard Form 100 (EEO-1) is the only report required by Executive Orders or their implementing regulations.

Proposer, Major Participants (other than Equity Members) and proposed non-exempt Subcontractors who have participated in a previous contract subject to the Executive Orders and have not filed the required reports should note that 41 CFR 60-1.7(b)(1) prevents the award of contracts and subcontracts unless such contractor submits a report covering the delinquent period or such other period specified by the Federal Highway Administration or by the Director, Office of Federal Contract Compliance, U.S. Department of Labor.



EQUAL EMPLOYMENT OPPORTUNITY CERTIFICATION

[To be executed by Proposer, Equity Members, each Major Participant and each non- exempt Subcontractor.]			
The undersigned certifies on behalf of Resolution Group, Inc., that: (Name of entity making certification)			
[NTD: check one of the following boxes]			
It has developed and has on file at each establishment affirmative action programs pursuant to 41 CFR Part 60-2 (Affirmative Action Programs).			
☑ It is not subject to the requirements to develop an affirmative action program under 41 CFR Part 60-2 (Affirmative Action Programs).			
[NTD: check one of the following boxes]			
It has not participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246.			
It has participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246 and, where required, it has filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance, a Federal Government contracting of administering agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements. Signature:			
Title: Principal			
Date: <u>March 10</u> , 20 <u>20</u>			
If not Proposer, relationship to Proposer: <u>Major Participant</u>			

Currently, Standard Form 100 (EEO-1) is the only report required by Executive Orders or their implementing regulations.

Proposer, Major Participants (other than Equity Members) and proposed non-exempt Subcontractors who have participated in a previous contract subject to the Executive Orders and have not filed the required reports should note that 41 CFR 60-1.7(b)(1) prevents the award of contracts and subcontracts unless such contractor submits a report covering the delinquent period or such other period specified by the Federal Highway Administration or by the Director, Office of Federal Contract Compliance, U.S. Department of Labor.



EQUAL EMPLOYMENT OPPORTUNITY CERTIFICATION

-	e executed by Proposer, Equity Members, each Major Participant and each non- ot Subcontractor.]		
The u	ndersigned certifies on behalf of <u>VS Engineering, Inc.</u> , that (Name of entity making certification)		
[NTD:	check one of the following boxes]		
	It has developed and has on file at each establishment affirmative action programs pursuant to 41 CFR Part 60-2 (Affirmative Action Programs).		
\boxtimes	It is not subject to the requirements to develop an affirmative action program under 41 CFR Part 60-2 (Affirmative Action Programs).		
[NTD:	check one of the following boxes]		
	It has not participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246.		
	It has participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246 and, where required, it has filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance, a Federal Government contracting or administering agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements. Signature:		
	Title: President		
	Date: <u>March 10,</u> 20 <u>20</u>		
If not	Proposer, relationship to Proposer: Major Participant		

Currently, Standard Form 100 (EEO-1) is the only report required by Executive Orders or their implementing regulations.

Proposer, Major Participants (other than Equity Members) and proposed non-exempt Subcontractors who have participated in a previous contract subject to the Executive Orders and have not filed the required reports should note that 41 CFR 60-1.7(b)(1) prevents the award of contracts and subcontracts unless such contractor submits a report covering the delinquent period or such other period specified by the Federal Highway Administration or by the Director, Office of Federal Contract Compliance, U.S. Department of Labor.





USE OF CONTRACT FUNDS FOR LOBBYING CERTIFICATE

The undersigned [NTD: check one]			
Proposer ⊠ Equity Member ☐ Major Participant ☐ proposed Subcontractor ☐			
 The undersigned certifies, to the best of its knowledge and belief, that: The firm/entity for which the undersigned is making this certification has complied with Section 1352, Title 31, U.S. Code, and specifically, that: a. No federal appropriated funds have been paid or will be paid, by or on behalf of such firm/entity, to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal agreements, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal agreement, grant, loan, or cooperative agreement. b. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with such federal agreement, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL "Disclosure Form to Report Lobbying," in accordance with its instructions. 			
The firm/entity for which the undersigned is making this certification also agrees that it shall require that the language of this certification be included in all contractor agreements including lower tier subcontracts, which exceed \$100,000, and that all such sub recipients shall certify and disclose accordingly. Any person who fails to sign or file this required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each failure			
Date:March 10, 2020			
Firm/Entity: Superior Construction Co., Inc.			
Signature:			

Indiana Department of Transportation I-65/I-70 North Split Project February 25, 2020 Form S

Request for Proposals ITP Forms Addendum #3

Title:	President	
	1	
Propos	ser: Superior Construction Co., Inc.	



USE OF CONTRACT FUNDS FOR LOBBYING CERTIFICATE

The undersigned [NTD: check one]				
Proposer ☐ Equity Member ☐ Major Participant ☒ proposed Subcontractor ☐				
The undersigned certifies, to the best of its knowledge and belief, that:				
1. The firm/entity for which the undersigned is making this certification has complied with Section 1352, Title 31, U.S. Code, and specifically, that:				
a. No federal appropriated funds have been paid or will be paid, by or on behalf of such firm/entity, to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal agreements, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal agreement, grant, loan, or cooperative agreement.				
b. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with such federal agreement, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL "Disclosure Form to Report Lobbying," in accordance with its instructions.				
The firm/entity for which the undersigned is making this certification also agrees that it shall require that the language of this certification be included in all contractor agreements including lower tier subcontracts, which exceed \$100,000, and that all such sub recipients shall certify and disclose accordingly. Any person who fails to sign or file this required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each failure				
Date: March 10, 2020				
Firm/Entity: Janssen & Spaans Engineering Inc.				

Signature:	
Title: President	
Proposer: Superior Construction Co.	. Inc.



USE OF CONTRACT FUNDS FOR LOBBYING CERTIFICATE

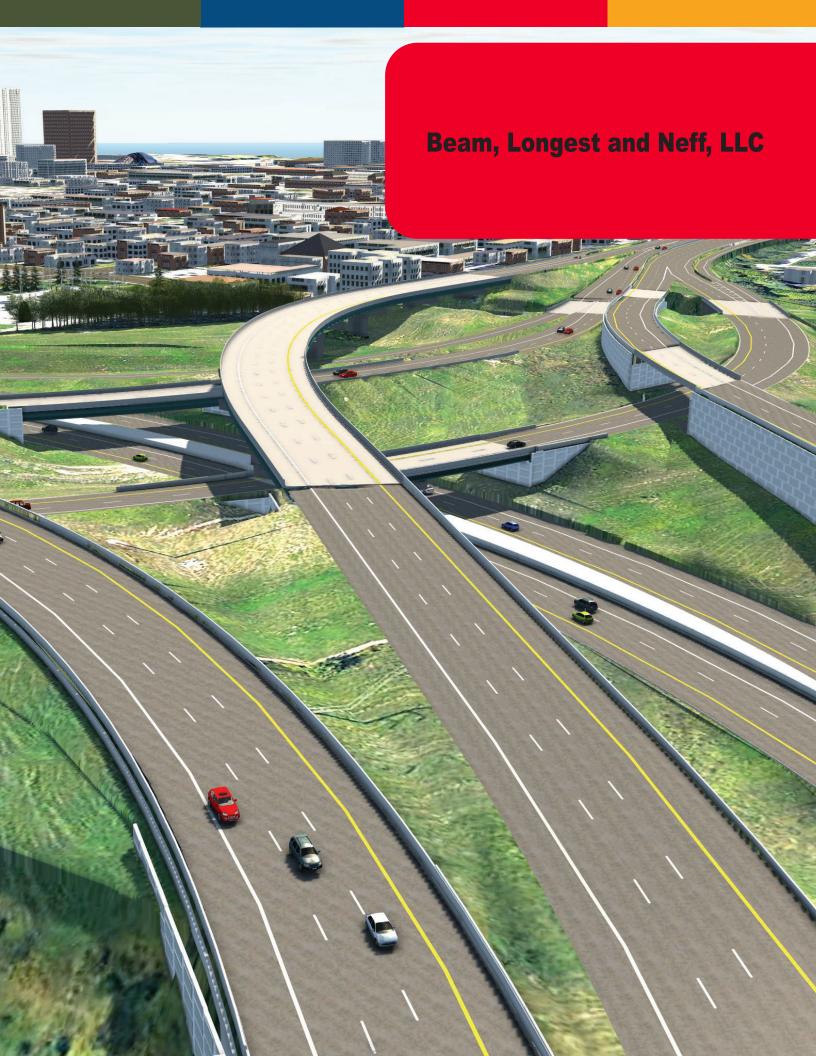
The undersign	ned [N	TD: check one]		
Proposer ☐ Equity Member ☐ Major Participant ☒ proposed Subcontractor ☐				
The un	The undersigned certifies, to the best of its knowledge and belief, that:			
		m/entity for which the undersigned is making this certification has ed with Section 1352, Title 31, U.S. Code, and specifically, that:		
	a.	No federal appropriated funds have been paid or will be paid, by or on behalf of such firm/entity, to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal agreements, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal agreement, grant, loan, or cooperative agreement.		
	b.	If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with such federal agreement, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL "Disclosure Form to Report Lobbying," in accordance with its instructions.		
	agrees in all c \$100,0 accord shall b	rm/entity for which the undersigned is making this certification also that it shall require that the language of this certification be included ontractor agreements including lower tier subcontracts, which exceed 000, and that all such sub recipients shall certify and disclose lingly. Any person who fails to sign or file this required certification e subject to a civil penalty of not less than \$10,000 and not more than 000 for each failure		
Date: March	n 10, 20	020		
Firm/Entity: A	& F Er	ngineering Co., LLC		

Indiana Department of Transportation I-65/I-70 North Split Project February 25, 2020 Form S

Request for Proposals ITP Forms Addendum #3

Signature:
Title: Owner
Proposer: Superior Construction Co. Inc.

56924128.v36



USE OF CONTRACT FUNDS FOR LOBBYING CERTIFICATE

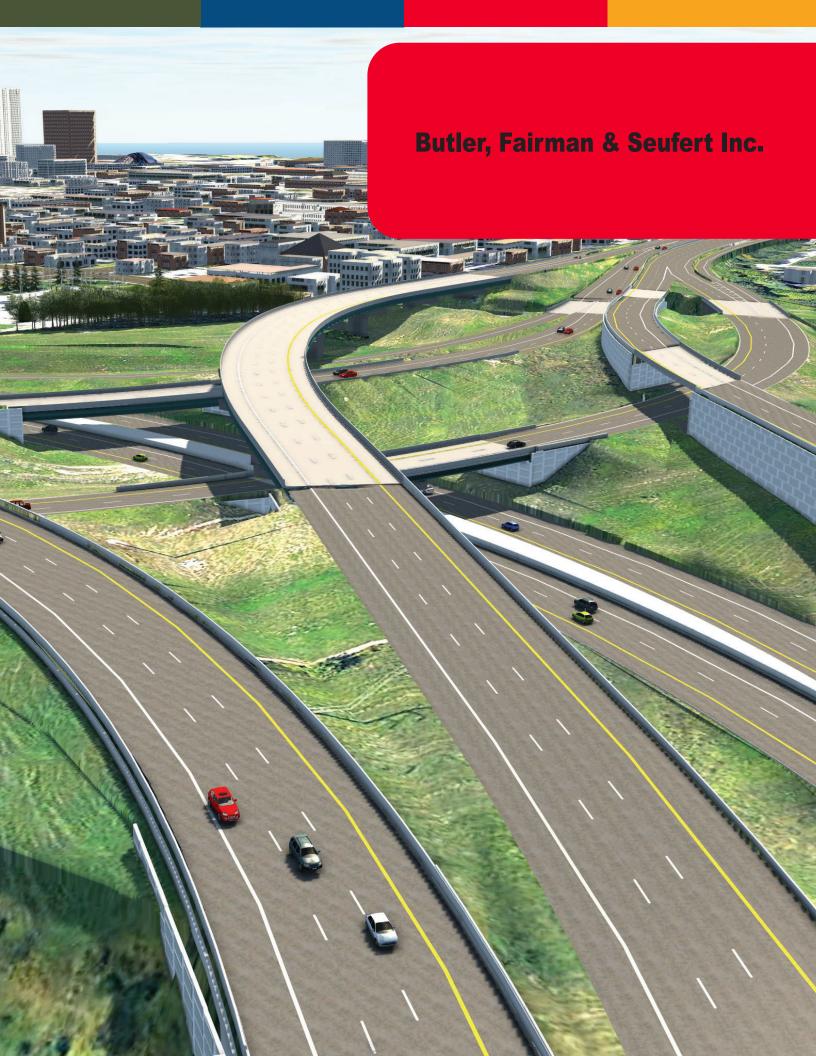
The undersi	gned [N	TD: check one]		
Proposer ☐ Equity Member ☐ Major Participant ☒ proposed Subcontractor ☐				
The u	The undersigned certifies, to the best of its knowledge and belief, that:			
 The firm/entity for which the undersigned is making this certificant complied with Section 1352, Title 31, U.S. Code, and specifically 				
	a.	No federal appropriated funds have been paid or will be paid, by or on behalf of such firm/entity, to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal agreements, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal agreement, grant, loan, or cooperative agreement.		
	b.	If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with such federal agreement, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL "Disclosure Form to Report Lobbying," in accordance with its instructions.		
2.	agrees in all of \$100,0 accord be sub	rm/entity for which the undersigned is making this certification also is that it shall require that the language of this certification be included contractor agreements including lower tier subcontracts, which exceed 2000, and that all such sub recipients shall certify and disclose dingly. Any person who fails to sign or file this required certification shall bject to a civil penalty of not less than \$10,000 and not more than 2000 for each failure		
Date: Marc	h 10, 2	020		
Firm/Entity: Beam, Longest & Neff, LLC				

Indiana Department of Transportation I-65/I-70 North Split Project February 25, 2020 Form S

Request for Proposals ITP Forms Addendum #3

Signature:	(mun	6 met	_
Title: <u>President</u>			
Proposer: Superio	or Constructi	ion Co., Inc.	

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USE OF CONTRACT FUNDS FOR LOBBYING CERTIFICATE

The undersign	ned [NTD: check one]
Proposer 🗌 I	Equity Member 🗌 Major Participant 🔀 proposed Subcontractor 🗌
The ur	dersigned certifies, to the best of its knowledge and belief, that:
	The firm/entity for which the undersigned is making this certification has complied with Section 1352, Title 31, U.S. Code, and specifically, that:
	a. No federal appropriated funds have been paid or will be paid, by or on behalf of such firm/entity, to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal agreements, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal agreement, grant, loan, or cooperative agreement.
	b. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with such federal agreement, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL "Disclosure Form to Report Lobbying," in accordance with its instructions.
	The firm/entity for which the undersigned is making this certification also agrees that it shall require that the language of this certification be included in all contractor agreements including lower tier subcontracts, which exceed \$100,000, and that all such sub recipients shall certify and disclose accordingly. Any person who fails to sign or file this required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each failure
Date: March	n 10, 2020
Firm/Entity: <u>B</u>	utler, Fairman & Seufert Inc.

Indiana Department of Transportation I-65/I-70 North Split Project February 6, 2020

Form S

Request for Proposals ITP Forms Addendum #2

Signature: Makeu Sal
Title: Executive Vice President
Proposer: Superior Construction Co., Inc.



USE OF CONTRACT FUNDS FOR LOBBYING CERTIFICATE

The unders	signed [NTD: check one]
Proposer [] Equit	y Member 🗌 Major Participant 🔀 proposed Subcontractor 🗌
The	unders	igned certifies, to the best of its knowledge and belief, that:
1.		firm/entity for which the undersigned is making this certification has blied with Section 1352, Title 31, U.S. Code, and specifically, that:
	a.	No federal appropriated funds have been paid or will be paid, by on on behalf of such firm/entity, to any person for influencing of attempting to influence an officer or employee of any federal agency a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal agreements, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal agreement, grant, loan, or cooperative agreement.
	b.	If any funds other than federal appropriated funds have been paid of will be paid to any person for influencing or attempting to influence are officer or employee of any federal agency, a Member of Congress, are officer or employee of Congress, or an employee of a Member of Congress in connection with such federal agreement, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL "Disclosure Form to Report Lobbying," in accordance with its instructions.
2.	agredin all \$100 acco be su	firm/entity for which the undersigned is making this certification also es that it shall require that the language of this certification be included contractor agreements including lower tier subcontracts, which exceed 1,000, and that all such sub recipients shall certify and disclose rdingly. Any person who fails to sign or file this required certification shall ubject to a civil penalty of not less than \$10,000 and not more than 1,000 for each failure
Date: _ <u>Ma</u>	rch 10,	2020
Firm/Entity	: <u>E&BP</u>	aving,Inc.

Indiana Department of Transportation I-65/I-70 North Split Project February 25, 2020 Form S

Signature: John John Mul
Title: Larry Canterbury, President
Proposer: Superior Construction Co., Inc.



USE OF CONTRACT FUNDS FOR LOBBYING CERTIFICATE

The undersign	gned [NTD: check one]
Proposer	Equity Member Major Participant proposed Subcontractor
The u	ndersigned certifies, to the best of its knowledge and belief, that:
1.	The firm/entity for which the undersigned is making this certification has complied with Section 1352, Title 31, U.S. Code, and specifically, that:
	a. No federal appropriated funds have been paid or will be paid, by on on behalf of such firm/entity, to any person for influencing of attempting to influence an officer or employee of any federal agency a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal agreements, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal agreement, grant, loan, or cooperative agreement.
	b. If any funds other than federal appropriated funds have been paid of will be paid to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of Member of Congress in connection with such federal agreement grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL "Disclosure Form to Report Lobbying," in accordance with its instructions.
2.	The firm/entity for which the undersigned is making this certification also agrees that it shall require that the language of this certification be included in all contractor agreements including lower tier subcontracts, which exceed \$100,000, and that all such sub recipients shall certify and disclose accordingly. Any person who fails to sign or file this required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each failure
Date: _Mar	ch 10, 2020
Firm/Entity: (Gannett Fleming, Inc.

Indiana Department of Transportation I-65/I-70 North Split Project February 25, 2020 Form S

Signature:
Title: Vice President
Proposer: Superior Construction Co., Inc.



USE OF CONTRACT FUNDS FOR LOBBYING CERTIFICATE

The undersig	ned [N	TD: check one]	
Proposer ☐ Equity Member ☐ Major Participant ☒ proposed Subcontractor ☐			
The u	ndersig	ned certifies, to the best of its knowledge and belief, that:	
1.	The firm/entity for which the undersigned is making this certification has complied with Section 1352, Title 31, U.S. Code, and specifically, that:		
	a.	No federal appropriated funds have been paid or will be paid, by or on behalf of such firm/entity, to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal agreements, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal agreement, grant, loan, or cooperative agreement.	
	b.	If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with such federal agreement, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL "Disclosure Form to Report Lobbying," in accordance with its instructions.	
2.	The firm/entity for which the undersigned is making this certification als agrees that it shall require that the language of this certification be included in all contractor agreements including lower tier subcontracts, which excees \$100,000, and that all such sub recipients shall certify and discloss accordingly. Any person who fails to sign or file this required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each failure		
Date: Marc	ch 10, 2	020	
Firm/Entity: k	Keramic	la Environmental, Inc.	

Signature:	
Title: Vice President, Operations	/ /
ا Proposer: Superior Construction Co., Inc	



USE OF CONTRACT FUNDS FOR LOBBYING CERTIFICATE

The undersi	gned [N	ITD: check one]	
Proposer [Equity	Member ☐ Major Participant ☒ proposed Subcontractor ☐	
The u	ndersig	gned certifies, to the best of its knowledge and belief, that:	
1.		The firm/entity for which the undersigned is making this certification has complied with Section 1352, Title 31, U.S. Code, and specifically, that:	
	a.	No federal appropriated funds have been paid or will be paid, by or on behalf of such firm/entity, to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal agreements, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal agreement, grant, loan, or cooperative agreement.	
	b.	If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with such federal agreement, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL "Disclosure Form to Report Lobbying," in accordance with its instructions.	
2	agrees in all of \$100,0 accord be sub	rm/entity for which the undersigned is making this certification also is that it shall require that the language of this certification be included contractor agreements including lower tier subcontracts, which exceed 000, and that all such sub recipients shall certify and disclose dingly. Any person who fails to sign or file this required certification shall bject to a civil penalty of not less than \$10,000 and not more than 000 for each failure	
Date: Marc	h 10, 2	020	
Firm/Entity:	Profess	ional Service Industries. Inc.	

Indiana Department of Transportation I-65/I-70 North Split Project February 25, 2020 Form S

Signature: _	(om	Fall	role		
Title: <u>Senic</u>	or Director, N	National P	ractice Lea	ader - Infra	<u>astructure</u>
Proposer: S	uperior Con	struction	/ Co Inc. /		



USE OF CONTRACT FUNDS FOR LOBBYING CERTIFICATE

The undersigned	[NTD: check one]		
Proposer ☐ Equity Member ☐ Major Participant ☒ proposed Subcontractor ☐			
The unders	signed certifies, to the best of its knowledge and belief, that:		
	firm/entity for which the undersigned is making this certification has plied with Section 1352, Title 31, U.S. Code, and specifically, that:		
a.	No federal appropriated funds have been paid or will be paid, by or on behalf of such firm/entity, to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal agreements, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal agreement, grant, loan, or cooperative agreement.		
b.	If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with such federal agreement, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL "Disclosure Form to Report Lobbying," in accordance with its instructions.		
agre in al \$10 acco shal	firm/entity for which the undersigned is making this certification also sees that it shall require that the language of this certification be included I contractor agreements including lower tier subcontracts, which exceed 0,000, and that all such sub recipients shall certify and disclose ordingly. Any person who fails to sign or file this required certification I be subject to a civil penalty of not less than \$10,000 and not more than 0,000 for each failure		
Date: March 10	, 2020		
Firm/Entity: RATIO	O Architects, Inc.		

Indiana Department of Transportation I-65/I-70 North Split Project February 25, 2020 Form S

Signature: Alux Achu	
Title: Principal / Director of Landscape Architecture	
Proposer: Superior Construction Co., Inc.	

Page 2 of 2



USE OF CONTRACT FUNDS FOR LOBBYING CERTIFICATE

The undersigned [NTD: check one]				
Proposer Eq	Proposer ☐ Equity Member ☐ Major Participant ☒ proposed Subcontractor ☐			
The undersigned certifies, to the best of its knowledge and belief, that:				
	ne firm/entity for which the undersigned is making this certification has omplied with Section 1352, Title 31, U.S. Code, and specifically, that:			
а.	No federal appropriated funds have been paid or will be paid, by or on behalf of such firm/entity, to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal agreements, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal agreement, grant, loan, or cooperative agreement.			
b.	If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with such federal agreement, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL "Disclosure Form to Report Lobbying," in accordance with its instructions.			
ag in \$1 ac sh	ne firm/entity for which the undersigned is making this certification also grees that it shall require that the language of this certification be included all contractor agreements including lower tier subcontracts, which exceed 100,000, and that all such sub recipients shall certify and disclose ecordingly. Any person who fails to sign or file this required certification hall be subject to a civil penalty of not less than \$10,000 and not more than 100,000 for each failure			
Date: _ March 1	0, 2020			
Firm/Entity: Res	solution Group, Inc.			

Indiana Department of Transportation I-65/I-70 North Split Project February 25, 2020 Form S

Signature:
Title: Principal
Proposer: Superior Construction Co., Inc.

Page 2 of 2



USE OF CONTRACT FUNDS FOR LOBBYING CERTIFICATE

The undersid	nad [NTD: aback and]					
_	ned [NTD: check one]					
Proposer	Proposer Equity Member Major Participant proposed Subcontractor					
The u	dersigned certifies, to the best of its knowledge and belief, that:					
1.	The firm/entity for which the undersigned is making this certification has complied with Section 1352, Title 31, U.S. Code, and specifically, that:					
	a. No federal appropriated funds have been paid or will be paid, by or on behalf of such firm/entity, to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal agreements, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal agreement, grant, loan, or cooperative agreement.					
	b. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with such federal agreement, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL "Disclosure Form to Report Lobbying," in accordance with its instructions.					
2.	The firm/entity for which the undersigned is making this certification also agrees that it shall require that the language of this certification be included in all contractor agreements including lower tier subcontracts, which exceed \$100,000, and that all such sub recipients shall certify and disclose accordingly. Any person who fails to sign or file this required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each failure					
Date: Marc	n 10, 2020					
Firm/Entity: \	S Engineering, Inc.					

Indiana Department of Transportation I-65/I-70 North Split Project February 25, 2020 Form S

Signature: Saujay B Pate	
Title: President	
Proposer: Superior Construction Co., Inc.	

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FORM K

DEBARMENT AND SUSPENSION CERTIFICATION

The undersigned Proposer certifies on behalf of itself and all Equity Members, Major Participants and proposed Subcontractors the following:

The undersigned certifies to the best of its knowledge and belief, that it and its principals:

- Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- b. Have not within a 3-year period preceding this Proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph 1b of this certification; and
- d. Have not within a 3-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

Where Proposer is unable to certify to any of the statements in this certification, it shall attach a certification to its Proposal or bid stating that it is unable to provide the certification and explaining the reasons for such inability.

Date: March 10, 2020	
Proposer: Superior Construction Co., Inc.	
Signature: DJJ/	
Title: President	



FORM P

GUARANTOR COMMITMENT LETTER

[<u>N/A</u>], 2020

Indiana Department of Transportation 100 North Senate Avenue, IGCN 758 Indianapolis, Indiana 46204 Attention: Cat Schoenherr

RE:

65/70 NORTH SPLIT PROJECT – DESIGN-BUILD CONTRACT

Dear Ms. Schoenherr:

N/A [INSERT NAME OF ENTITY PROVIDING THE GUARANTY], hereinafter "Guarantor," is N/A [DESCRIBE RELATIONSHIP TO PROPOSER].

GUARANTOR COMMITMENT TO PROVIDE PARENT GUARANTY FOR THE

This commitment letter is provided on behalf of <u>N/A</u> [NTD – INSERT NAME OF **PROPOSER**] ("Proposer") in connection with Proposer's proposal ("Proposal") for the public-private agreement ("Public-Private Agreement") to design and build the I-65/I-70 North Split Project (the "Project").

Guarantor hereby unconditionally and irrevocably agrees to provide a guaranty, guaranteeing to the Indiana Department of Transportation ("INDOT") all the obligations of Proposer with respect to the Public-Private Agreement in the form of Exhibit 14 of the Public-Private Agreement and guaranteeing all the obligations of the Design-Build Contractor named in the Proposal that are described in such Exhibit 14 to the Public-Private Agreement. This commitment extends to all Proposal Commitments that will be incorporated into the Public-Private Agreement, and to all changes from the form of Public-Private Agreement included in the Request for Proposals for the Project that may be negotiated between INDOT and Proposer.

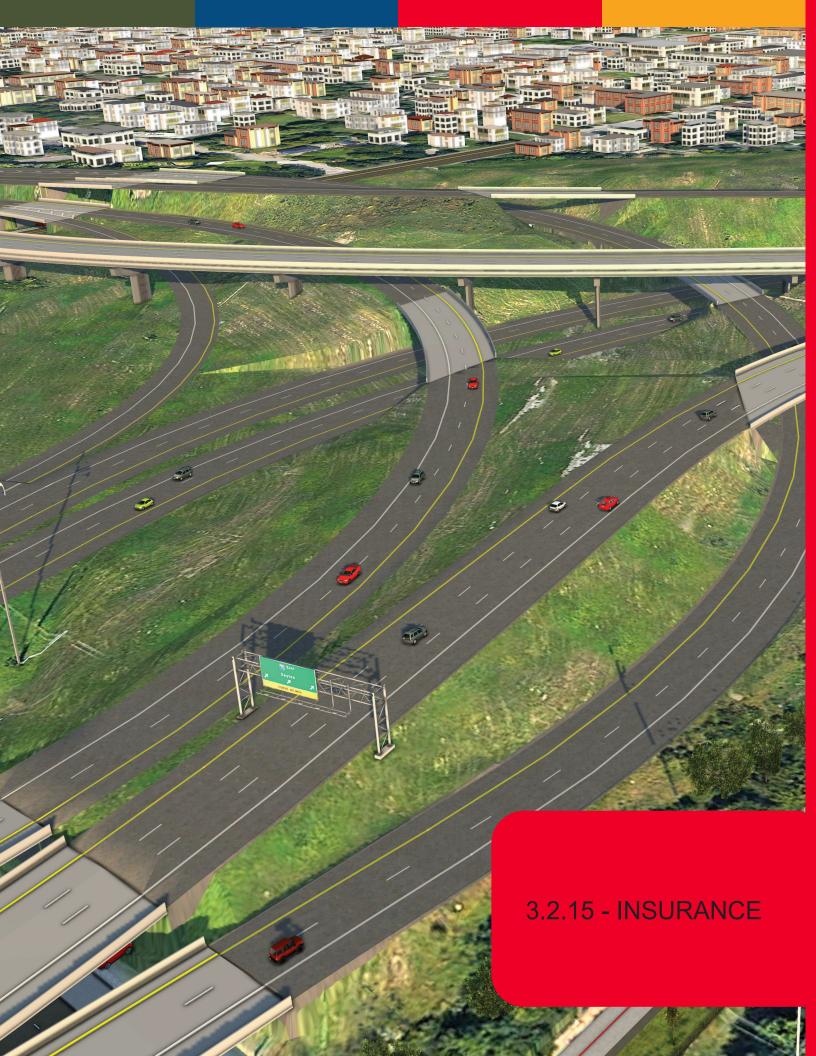
This commitment is subject only to award of the Public-Private Agreement to Proposer and execution of the Public-Private Agreement by INDOT.

Sincerely,

N / A [Title]

[Attach evidence of authorization of the signatory to the letter, which may include a Power of Attorney signed by an authorized individual of the entity or other authority, as evidenced by the partnership agreement, joint venture agreement, corporate charter, bylaws or resolution.]

Indiana Department of Transportation I-65/I-70 North Split Project February 25, 2020 Form P





John K. Johnson Managing Director Marsh USA Inc. 540 W. Madison Street Suite 1200 Chicago, IL 60661 1 312 627 6733 John.k.johnson@marsh.com www.marsh.com

March 16, 2020

Indiana Department of Transportation 100 North Senate Avenue Indianapolis, Indiana 46368

Re: Request for Qualifications ("RFQ")

Design and Build I-65 / I-70 North Split Project Through a Public-Private Partnership Agreement Project ("PPA")

To Whom It May Concern:

Marsh USA, the exclusive broker for Superior Construction Company, Inc., acknowledges that we have read the PPA (including the insurance section) and Marsh can confirm that Superior will be able to obtain and maintain the insurance types and amounts as set forth in the PPA and can do so under and subject to the terms and conditions specified in section 9 of the PPA.

If we can provide any further assurance or assistance, please do not hesitate to call upon us.

Marsh USA

John K. Johnson, Managing Director

Construction Practice Leader



CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY) 12/31/2019

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

this certificate does not confer rights t	o the	cert	iticate holder in lieu of si	uch end) .			
PRODUCER MARSH USA INC.			NAME:						
540 W. MADISON			PHONE FAX (A/C, No, Ext): (A/C, No):						
CHICAGO, IL 60661 Attn: Chicago.CertRequest@marsh.com Fax: 212-948-0770			É-MAIL ADDRE	SS:					
Attil. Chicago. Certhequesternal str. com Fax. 212-346-0770				INS	SURER(S) AFFOR	DING COVERAGE		NAIC#	
				INSURE	R A: Liberty Mut	tual Fire Insuranc	e Company		23035
INSURED Superior Construction Co., Inc.				INSURE	RB: Allied Worl	d National Assura	nce Company		10690
1455 Louis Sullivan Drive				INSURE	R C :				
Portage, IN 46368				INSURE	:R D :				
				INSURE	RE:				
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							MED EXP (Any one person)	\$	10,000
							PERSONAL & ADV INJURY	\$	1,000,000
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X POLICY X PRO- JECT X LOC							PRODUCTS - COMP/OP AGG	\$	2,000,000
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AND EMPLOYERS' LIABILITY ANYPROPRIETOR/PARTNER/EXECUTIVE Y/N							E.L. EACH ACCIDENT	\$	1,000,000
OFFICER/MEMBER EXCLUDED? (Mandatory in NH)	N/A						E.L. DISEASE - EA EMPLOYEE		1,000,000
If yes, describe under DESCRIPTION OF OPERATIONS below							E.L. DISEASE - POLICY LIMIT	\$	1,000,000
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Superior Construction Co., Inc. 1455 Louis Sullivan Drive Portage, IN 463658			SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.			-			
			AUTHORIZED REPRESENTATIVE of Marsh USA Inc.						

Mariaoni Mukrujee

Manashi Mukherjee



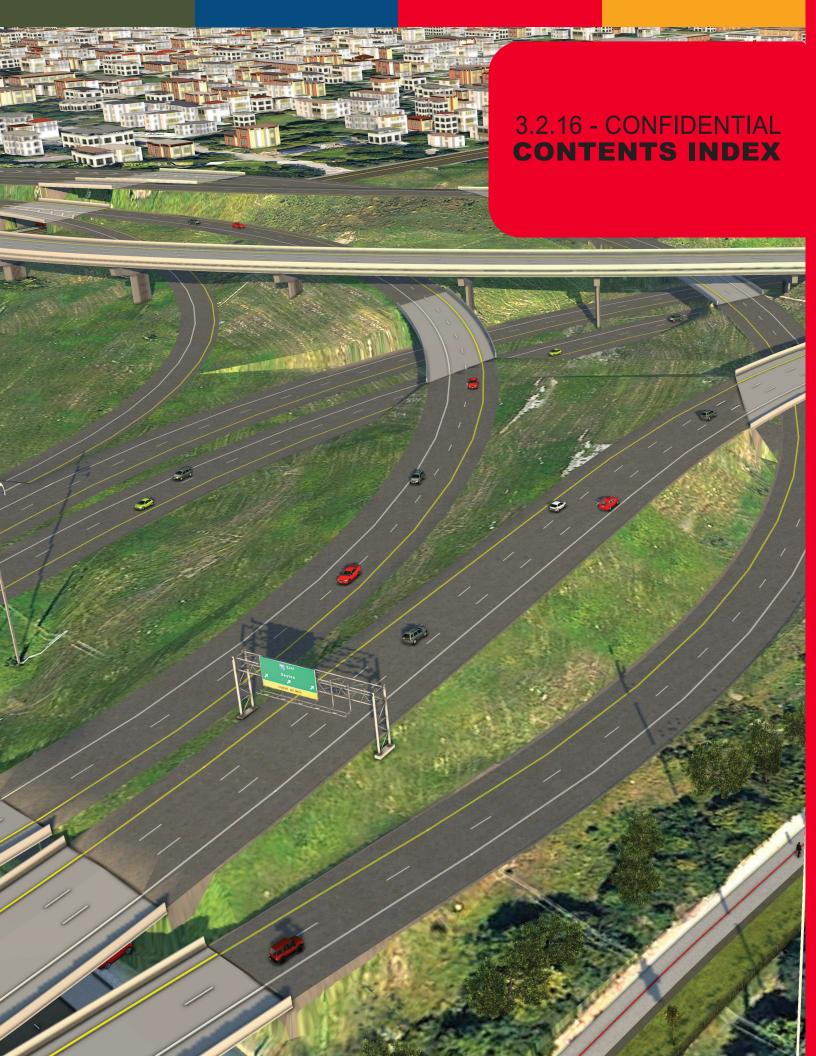
CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY) 12/31/2019

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PRODUCER			CONTACT NAME:							
MARSH USA INC. 540 W. MADISON				PHONE FAX (A/C, No, Ext): (A/C, No):						
CHICAGO, IL 60661			E-MAIL ADDRES	88.		(44, 114)				
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	POLICY PRO- JECT LOC							PRODUCTS - COMP/OP AGG	\$	
	OTHER:								\$	
	AUTOMOBILE LIABILITY							COMBINED SINGLE LIMIT (Ea accident)	\$	
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	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY							PER OTH- STATUTE ER		
	ANYPROPRIETOR/PARTNER/EXECUTIVE	N / A						E.L. EACH ACCIDENT	\$	
	OFFICER/MEMBER EXCLUDED? (Mandatory in NH)	N/A						E.L. DISEASE - EA EMPLOYEE	\$	
	If yes, describe under DESCRIPTION OF OPERATIONS below							E.L. DISEASE - POLICY LIMIT	\$	
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3.2.16 – CONFIDENTIAL CONTENTS INDEX

The Design-Build Team has identified the following items with which we deem to be confidential information protected by the Public Records Act:

SECTION	PAGE NUMBER(S)	DESCRIPTION
Volume 1, Executive Summary	Page 5	Figure 5, Approved ATCs
Volume 1	All Pages	Authorization Documents
Volume 1, 3.2.5	Page 1	Form E, Personnel Work Assignment Form and Commitment of Availability
Volume 1, 3.2.6	Pre-Proposal Submittals	Exhibit A
Volume 1, 3.2.17	All Pages	Preliminary DBE Project Plan
Volume 1, Appendix	All Pages	Copies of Organizational Documents
Volume 2, 4.1.1	Page 2	Figure 2, Approved ATCs
Volume 2, 4.1.1	Page 7	Figure 5, Project Organizational Chart
Volume 2, 4.1.1	Pages 8 & 9	Figure 6, Key Personnel Involvement, Functionality, Responsibilities, Qualifications, and Experience
Volume 2, 4.1.1	Page 14	Figure 9, Projected Workload and Backlog
Volume 2, Appendix	All Page	Key Personnel Resumes
Volume 3, 2.1	All Pages	Material Changes in Financial Conditions
Volume 3	All Pages	Form I-1, Summary Cost Table Form

Apple	
Signature	
Daniel J. Sopczak, President	
Title	
March 10, 2020	
 Date	







3.2.17 – PRELIMINARY DBE PROJECT PLAN

Summary

The Design-Build Team is committed to achieving a minimum of 9% DBE participation. As part of our commitment, we held two outreach events during the procurement process. Figure 9 is an example of the type of advertisement we sent out to local DBE firms.

Figure 9. Outreach Events Flier



DBE Compliance

Nikki Martin will serve as our DBE compliance manager for the North Split project and will monitor the progress of our DBE plan. She will be responsible for identifying and tracking all communications with DBE subcontractors and vendors. She will maintain a record-keeping system for contract awards, progress towards achieving goals, and other good faith efforts. The records will include:

- Procedures to identify and assess contract awards
- Progress in achieving goals
- Amounts awarded, paid, and claimed
- · Good faith efforts documentation
- Copy of monthly submitted INDOT DBE participation report

Nikki will be an advocate for DBEs so that they have the maximum practical opportunities available to meet and or exceed the established 9% DBE participation goal. In addition to utilizing DBE firms, the plan will outline the following:

- Methods to achieve the participation goals or demonstrate good faith efforts
- Methods to comply with DBE, Equal Employment Opportunity, and labor laws
- Approach to maximize participation
- Outline personnel, roles, and responsibilities
- Approach for contracting with and managing subcontractors
- Approach to developing and implementing a mentor / protege program
- Outreach program to encourage participation
- Framework for identifying and training
- Reporting requirements
- Regular updates on the progress in meeting requirements
- Tracking efforts

Obtaining maximum DBE participation on the North Split project will take consistent oversight, a targeted effort, and a focus on varying the opportunities and minimizing barriers that small businesses face on large-scale public works projects. The Design-Build Team will follow a consistent set of best practices and engagement procedures during all phases of the project including:

- Providing routine training for all project personnel
- Meeting periodically with INDOT Economic Opportunity Division (EOD), DBE consultants, and other DBE representatives
 - Reviewing monthly / quarterly / annual reports, procurement opportunities, and strategic outreach meetings
 - Determining strategies to overcome participation barriers
- Updating our plan quarterly to track consistent progress towards the participation goal
- Advertising and communicating in minority trade publications



- Gathering bids at each phase, ensuring the solicitation of certified, qualified firms to participate in the bid process
- Providing oversight throughout the project to verify that all firms are treated fairly

Past Success Partnering with DBE Firms

Partnering is a core philosophy among our entire team. Figure 10 highlights Superior Construction's recent success utilizing DBE firms and exceeding contractual responsibilities with INDOT, **AVERAGING 2.75% ABOVE CONTRACT GOALS**. Figure 11 summarizes our current INDOT contracts participating in DBE goals.

APPROACH TO ACHIEVING DBE GOALS

Monitor and Document DBE Goals Status

The Design-Build Team is fully committed to meet and or exceed the DBE goals as part of our design, subcontracting, and supplier opportunities. We place a significant value on the contributions made by certified DBE subcontractors and consultants as a fundamental component to a successful project because they add strength, talent and local resources to our team.

Our approach to meeting the participation goal includes a system of reporting and procedures. Nikki will track the method for identifying, soliciting, documenting, selecting and managing DBEs for contract and subcontract opportunities throughout the duration of the North Split project.

Figure 10. Past Success with INDOT DBE Participation

YEAR	CONTRACT#	DBE GOAL %	FINAL %	EXCEEDED
2015	B-36406-A	9%	13.29%	4.29%
2015	R-33926-A	11%	13.11%	2.11%
2015	B-31192-A	7%	15.47%	8.47%
2015	B-34576-A	11%	11.23%	0.23%
2016	R-36373-A	10%	12.24%	2.24%
2016	B-28990-A	9%	11.21%	2.21%
2016	B-32043-A	10%	14.66%	4.66%
2017	B-35492-A	5%	5.04%	0.04%
2017	B-38291-A	8%	8.05%	0.05%
2018	B-36672-A	2%	4.74%	2.74%
2018	RS-39975-A	5%	11.47%	6.47%
2018	B-40381-A	9%	10.88%	1.88%
2018	B-39471-A	12%	12.42%	0.42%

Figure 11. Current INDOT Projects

YEAR	CONTRACT#	DBE GOAL %
2019	B-33036-A	14%
2019	B-41688-C	7%
2019	B-40120-A	7%
2019	B-39578-A	7%
2020	R-38317-A	12%



Local Community Commitment

The Design-Build Team has numerous employees that live in the area and travel through the North Split corridor daily. By leveraging their local knowledge, our team has the advantage of contacting DBE contractors that understand INDOT and our policies and expectations for quality and production.

For example, Nikki has spent the majority of her career working in Indianapolis and the surrounding area, during which she has immersed herself in the community and has built relationships with many DBE firms.

APPROACH TO ENCOURAGE DBE PARTICIPATION

Pre-Bid Efforts

During the procurement phase, Nikki provided outreach to more than 1,683 DBE firms listed on the State of Indiana Directory of Certified Disadvantaged Owned Business Enterprise Search's website, as summarized in Figure 12.

After identifying subcontracting opportunities, we divided the work into packages and solicited bids from prequalified bidders, enabling the marketplace to dictate price. In the same way the Design-Build Team is proposing to INDOT, subcontractors created value by proposing the advantages for their respective scopes of work. We will make final selection based on best value. This method of competitive bidding will assure that the North Split project receives the most economical price from qualified subcontractors.

Figure 12. Pre-Bid Efforts

DISCIPLINE	# OF COMPANIES
(C) Construction	235
(D) Supplier – Dealer	225
(E) Engineering	251
(G) General	244
(H) Hauler	262
(N) Supplier – Manufacturer	233
(P) Professional	233
TOTAL	1,683

Nikki publicly advertised our two outreach events and attended INDOT's EOD / major projects networking event held on December 12, 2019. Figure 13 is the advertisement that we used in multiple local newspapers. The Design-Build Team held outreach events on January 15 and February 13, 2020. Invitees completed an informational form to assist our team in matching capabilities with work opportunities. In order to maximize opportunities, we:

- Explored subcontracting items that we normally selfperform, including bridge demolition, beam erection, roadway work, stone base, and retaining walls
- Negotiated non-DBE subcontractors to include DBE participation as a portion of their work
- Separated scopes of subcontracts into packages as needed so that subcontractors do not exceed their pregualification limits or bonding capacities

Figure 13. Outreach Event Advertisement

NOTICE OF PUBLIC OUTREACH MEETING

Superior Construction is inviting DBE firms to attend a public outreach meeting for the I-65/I-70 North Split Project located in Indianapolis, In. This event is to be held on January 15, 2020 and on February 13, 2020 at the Indianapolis Marriott East, 7202 E 21st St, Indianapolis 46219 from 5:30pm to 6:30pm (Eastern). Questions from potential DBE bidders will be entertained at this time. All interested DBE's are encouraged to attend this meeting. Prospective bidders must be a certified DBE with the Indiana Department of Transportation prior to the letting date. Please contact Nikki Martin for further details nmartin @superiorconstruction.com

No quote will be subjected to

No quote will be subjected to discrimination on the basis of race, color, creed, religion, sex, physical or mental handicap, age or national origin in consideration for an award. Superior Construction is an Equal Opportunity Employer.

Post-Bid Efforts

Our DBE outreach efforts will not end once we are selected for the North Split project. Throughout the project, we will continue our pre-bid efforts and:



- Assist the development of potential firms into state certified DBEs
- Solicit additional DBE participation as portions of work become available
- Prepare annual revised subcontracting plans and affidavits
- Prepare monthly participation reports
- Coordinate future outreach events
- Report progress quarterly
- Encourage participation through our public outreach campaign

OUTREACH AND ASSISTANCE APPROACH TO DBE CERTIFICATION

Our philosophy is to identify and assign meaningful roles to all team members. We are committed to supporting DBE businesses to leverage the depth of talent in design and construction firms throughout Central Indiana. Over the years, our approach has achieved two important goals:

- Keep dollars and jobs in the local economy
- Provide meaningful participation opportunities

Our team members have an ongoing commitment to meeting or exceeding the goals. We also work proactively to foster relationships with DBE firms to assist in the growth of their businesses.

GROWING THE CAPACITY OF DBE FIRMS

The Design-Build Team's commitment to mentoring will begin with assisting non-DBE and or non-prequalified firms gain access to training and workshops. We will provide opportunities for selected DBE firms to learn more of our business practices. The firms will gain valuable training during a one-year term in this program by offering the participants the opportunity to enhance their business skills by focusing on the following fundamental business principles:

- Scheduling
- Creating a cost budget and measuring costs

- · Measuring cash flow and profitability
- Understanding the role of bonds and insurance
- Clarifying contract documents
- Managing human resources
- Project safety

Mentor / Protege Program and Partnership

Mentoring includes strategic planning to determine where the business is, where the owner wants it to be, and how to get there. Before considering growth, a DBE firm needs to have a solid understanding of the current state of its business. As a professional mentor, we will guide the firm in assessing their current business practices, services, and capabilities.

Our mentor / protege program is designed to assist small businesses in overcoming barriers that typically restrict the success of disadvantaged, minority- and women-owned businesses. Our program pairs emerging certified-DBE companies with similar, more experienced and successful firms.

The overall goal is for the mentors to provide the DBEs with business advice, assistance and training with the expectation of increasing the capability of the protege and to grow their business. The primary goals are:

- Develop and strengthen firms through coaching and counseling
- Expand business opportunities
- Enable them to become competent, viable wellmanaged businesses
- Assist in meeting their contractual goals

Our specific approach to qualify a certified DBE for the small business mentor / protege program is summarized in Figure 14.

We will implement the program for subcontractors on the North Split project and will encourage our subcontractors to develop additional mentoring relationships.

Figure 14. Mentor / Protege Program Certification Process

Assess each firm: technical, operational, and management Interview each firm to gain an understanding of objectives, improvement areas, and growth opportunities

Identify improvement and growth metrics

Identify opportunities for growth and develop goals for success

Perform annual baseline evaluations to determine progress

5

Conduct a
collaborative work
session to strategize
opportunities new
service lines, expand
relationships, and
partner with new
firms





3.2.18 – LANDSCAPE ARCHITECTURE FIRM

The Design-Build Team has included a description of RATIO Architects, the INDOT approved landscape architect. Please find specific information on their qualifications and relevant work experience in Volume 2 Appendix – Landscape Architecture Firm Description & Superior Construction Safety Program.



FORM U

PREQUALIFICATION IDENTIFICATION

[This form will be used to provide information about the team members, as of the Proposal Due Date, required for the Proposer team to satisfy the INDOT Prequalification Work Type Certification requirements set forth in ITP Section 1.13 (other than clauses (iv)-(viii) of Section 1.13(c), which need not be satisfied as of the Proposal Due Date.]

Proposer Name	

INDOT Prequalification Work Type	Prequalified Entity on Proposer Team
\$250MM in the aggregate OR \$Unlimited by INDOT	
Construction	
\$50MM in the aggregate in one of the following:	Superior Construction Co., Inc.
A (a) Concrete Pavement – General OR	
D (b) Highway or Railroad Bridge over Highway	
Contractor	
B (a) Asphalt Pavement – with INDOT Certified Hot Mix Asphalt (HMA) Plant	E&B Paving, Inc.
C (a) Heavy Grading	Superior Construction Co., Inc.
D (c) Bridge Involving Protection of Railroad Tracks	Superior Construction Co., Inc.

Consultant	
5.1 Environmental Documentation Preparation – EA/EIS	Butler, Fairman & Seufert Inc.
5.6 Waterway Permits	Butler, Fairman & Seufert Inc.
5.8 Noise Analysis and Abatement Design	Butler, Fairman & Seufert Inc.
5.10 Historical/Architectural Investigations	Butler, Fairman & Seufert Inc.
5.14 Phase II ESA and Further Site Investigation/Corrective Action	Keramida Environmental, Inc.
6.1 Topographic Survey Data Collection	Resolution Group, Inc.
7.1 Geotechnical Engineering Services	Professional Service Industries, Inc.
8.2 Complex Roadway Design	Janssen & Spaans Engineering, Inc.
9.2 Level 2 Bridge Design	Janssen & Spaans Engineering, Inc.
10.1 Traffic Signal Design	A & F Engineering Co LLC
10.2 Traffic Signal System Design	A & F Engineering Co LLC
10.3 Complex Roadway Sign Design	Janssen & Spaans Engineering, Inc.
10.4 Lighting Design	A & F Engineering Co LLC
10.5 Intelligent Transportation System Design	Gannett Fleming, Inc.
10.6 Intelligent Transportation System Integration	Gannett Fleming, Inc.
16.1 Utility Coordination	VS Engineering, Inc.
17.2 Small Structure and Pipe Hydraulic Design	Janssen & Spaans Engineering, Inc.
17.3 Storm Sewer and Detention Design	Beam, Longest and Neff, LLC





3.3 STIPEND AGREEMENT

Superior Construction / JSE have contained the completed Stipend Agreement.

This information can be located in the Technical Proposal Volume 3 - Price Proposal.